

(REV. 12-2004)

**TRANSMITTAL LETTER TO THE UNITED STATES  
DESIGNATED/ELECTED OFFICE (DO/EO/US)  
CONCERNING A SUBMISSION UNDER 35 U.S.C. 371**

ATTORNEY'S DOCKET NUMBER  
**P/2108-40**

U.S. APPLICATION NO. (If known, see 37  
CFR 1.5)

**10/527128**

INTERNATIONAL APPLICATION NO.  
**PCT/JP2004/006333**

INTERNATIONAL FILING DATE  
**30 April 2004 (30.04.04)**

PRIORITY DATE CLAIMED  
**08 May 2003 (08.05.03)**

## TITLE OF INVENTION

**OPTICAL HEAD DEVICE, METHOD OF MANUFACTURING THE SAME, AND OPTICAL INFORMATION  
RECORDING AND/OR PLAYBACK APPARATUS**

APPLICANT(S) FOR DO/EO/US

**Ryuichi KATAYAMA**

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a submission under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a submission under 35 U.S.C. 371.
3. ☒ This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (21) indicated below.
4. ☒ The US has been elected (Article 31).
5. ☒ A copy of the International Application as filed (35 U.S.C. 371(c)(2))
  - a. ☐ is attached hereto (required only if not communicated by the International Bureau).
  - b. ☒ has been communicated by the International Bureau.
  - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☒ An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)).
  - a. ☒ is attached hereto.
  - b. ☐ has been previously submitted under 35 U.S.C. 154(d)(4).
7. ☒ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))
  - a. ☐ are attached hereto (required only if not communicated by the International Bureau).
  - b. ☐ have been communicated by the International Bureau.
  - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
  - d. ☒ have not been made and will not be made.
8. ☐ An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
9. ☒ An Executed oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).
10. ☐ An English language translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).

**Items 11 to 20 below concern other document(s) or information included:**

11. ☒ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
12. ☒ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
13. ☒ A preliminary amendment.
14. ☐ An Application Data Sheet under 37 CFR 1.76
15. ☐ A substitute specification.
16. ☐ A power of attorney and/or change of address letter.
17. ☐ A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 37 CFR 1.821-1.825.
18. ☐ A second copy of the published International Application under 35 U.S.C. 154(d)(4).
19. ☐ A second copy of the English language translation of the International Application under 35 U.S.C. 154(d)(4).
20. ☒ Other items or information (specify): *15 sheets of drawings; EFS form; postcard; Copy of the 1<sup>st</sup> page of the Publication*

**EXPRESS MAIL CERTIFICATE**

I hereby certify that this correspondence is being deposited with the United States Postal Service as Express Mail Post Office to Addressee (mail label # EV 343723018US) in an envelope addressed to: Box PCT, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450, on March 8, 2005:

Name of Person Mailing Correspondence: *Dorothy Jenkins*

Signature: *Dorothy Jenkins*

Date of Signature: March 8, 2005

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## 21. The following fees are submitted:

- [X] a) Basic national fee.....\$300.00  
 [X] b) Examination fee.....\$200.00  
 [X] c) Search fee.....\$500.00

TOTAL OF ABOVE CALCULATIONS = \$1,000.00

\$ 300.00

\$ 200.00

\$ 500.00

\$ 1,000.00

- [X] Additional fee for specification and drawings filed in paper over 100 sheets (excluding sequence listing or computer program listing filed in an electronic medium). The fee is \$250 for each additional 50 sheets of paper or fraction thereof.

\$ 00.00

Total Sheets	Extra sheets	Number of each additional 50 or fraction thereof (round up to a whole number)	RATE
102- 100 =	2/50 =		x \$250.00

\$ 250.00

Surcharge of \$130.00 for furnishing the oath or declaration later than 30 months from the earliest claimed priority date (37 CFR 1.492(e)).

\$

CLAIMS

NUMBER FILED

NUMBER EXTRA

RATE

\$

Total Claims

17 - 20 =

0

x \$ 50.00

\$ 000.00

Independent Claims

2 - 3 =

0

x \$200.00

\$ 000.00

MULTIPLE DEPENDENT CLAIM(S) (if applicable)

+ \$360.00

\$ 00.00

TOTAL OF ABOVE CALCULATIONS = \$ 1250.00

- [ ] Applicant claims small entity status. See 37 CFR 1.27. The fees indicated above are reduced by 1/2.

\$

SUBTOTAL =

\$ 1250.00

Processing fee of \$130.00 for furnishing the English translation later than 30 months from the earliest claimed priority date (37 CFR 1.492(f)).

\$0.00

TOTAL NATIONAL FEE = \$ 1250.00

Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by the appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property +

\$ 40.00

TOTAL FEES ENCLOSED = \$1290.00

a. [X] A check (check number \_\_\_\_\_) in the amount \$ 1290.00 to cover the above fees is enclosed.

b. [ ] Please charge my Deposit Account No. 15-0700 in the amount of \$ \_\_\_\_\_ to cover the above fees.

A duplicate copy of this sheet is enclosed.

c. [X] The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. 15-0700. A duplicate copy of this sheet is enclosed.

NOTE: Where an appropriate time limit under 37 CFR 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.

SEND ALL CORRESPONDENCE TO:

Max Moskowitz

Ostrolenk, Faber, Gerb &amp; Soffen, LLP

1180 Avenue of the Americas

New York, New York 10036-8402

Max Moskowitz

Registration Number: 30,556

March 8, 2005

Telephone: (212) 382-0700

INVENTOR INFORMATION

10/527128

0112 Rec'd PCT/PTO 08 MAR 2005

Inventor One Given Name:: Ryuichi  
Family Name:: KATAYAMA  
Postal Address Line One:: c/o NEC Corporation, 7-1, Shiba 5-chome,  
Postal Address Line Two:: Minato-ku  
City:: Tokyo  
Country:: Japan  
Postal or Zip Code:: 108-8001  
Citizenship Country:: Japan

CORRESPONDENCE INFORMATION

Correspondence Customer Number:: 000002352  
Electronic Mail One:: email@ostrolenk.com

APPLICATION INFORMATION

Title Line One:: OPTICAL HEAD DEVICE, METHOD OF MANUFACTU  
Title Line Two:: RING THE SAME, AND OPTICAL INFORMATION R  
Title Line Three:: ECORDING AND/OR PLAYBACK APPARATUS

Total Drawing Sheets:: 15  
Formal Drawings?:: Yes  
Application Type:: Utility  
Docket Number:: P/2108-40  
Secrecy Order in Parent Appl.?:: No

CONTINUITY INFORMATION

This application is a:: 371 OF  
> Application One:: PCT/JP04/06333  
Filing Date:: 04-30-2004

PRIOR FOREIGN APPLICATIONS

Foreign Application One:: 2003-130814  
Filing Date:: 05-08-2003  
Country:: Japan  
Priority Claimed:: Yes

Source:: PrintEFS Version 1.0.1